

TENT COOPERATION TREATY

PCT

INTERNATIONAL SEARCH REPORT

(PCT Article 18 and Rules 43 and 44)

Applicant's or agent's file reference 9632-093-228	FOR FURTHER ACTION	see Notification of Transmittal of International Search Report (Form PCT/ISA/220) as well as, where applicable, item 5 below.
International application No. PCT/US03/24209	International filing date (<i>day/month/year</i>) 31 July 2003 (31.07.2003)	(Earliest) Priority Date (<i>day/month/year</i>) 31 July 2002 (31.07.2002)
Applicant SEATTLE GENETICS, INC.		

This international search report has been prepared by this International Searching Authority and is transmitted to the applicant according to Article 18. A copy is being transmitted to the International Bureau.

This international search report consists of a total of 4 sheets.



It is also accompanied by a copy of each prior art document cited in this report.

1. Basis of the Report

a. With regard to the language, the international search was carried out on the basis of the international application in the language in which it was filed, unless otherwise indicated under this item.



the international search was carried out on the basis of a translation of the international application furnished to this Authority (Rule 23.1(b)).

b. With regard to any nucleotide and/or amino acid sequence disclosed in the international application, the international search was carried out on the basis of the sequence listing:



contained in the international application in written form.



filed together with the international application in computer readable form.



furnished subsequently to this Authority in written form.



furnished subsequently to this Authority in computer readable form.



the statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.



the statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

2. ☐ Certain claims were found unsearchable (See Box I).

3. ☒ Unity of invention is lacking (See Box II).

4. With regard to the title,



the text is approved as submitted by the applicant.



the text has been established by this Authority to read as follows:

5. With regard to the abstract,



the text is approved as submitted by the applicant.



the text has been established, according to Rule 38.2(b), by this Authority as it appears in Box III. The applicant may, within one month from the date of mailing of this international search report, submit comments to this Authority.

6. The figure of the drawings to be published with the abstract is Figure No. _____



as suggested by the applicant.



because the applicant failed to suggest a figure.



because this figure better characterizes the invention.



None of the figures

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US03/24209

Box I Observations where certain claims were found unsearchable (Continuation of Item 1 of first sheet)

This international report has not been established in respect of certain claims under Article 17(2)(a) for the following reasons:

1. ☐ Claim Nos.:
because they relate to subject matter not required to be searched by this Authority, namely:
2. ☐ Claim Nos.:
because they relate to parts of the international application that do not comply with the prescribed requirements to such an extent that no meaningful international search can be carried out, specifically:
3. ☐ Claim Nos.:
because they are dependent claims and are not drafted in accordance with the second and third sentences of Rule 6.4(a).

Box II Observations where unity of invention is lacking (Continuation of Item 2 of first sheet)

This International Searching Authority found multiple inventions in this international application, as follows:
Please See Continuation Sheet

1. ☒ As all required additional search fees were timely paid by the applicant, this international search report covers all searchable claims.
2. ☐ As all searchable claims could be searched without effort justifying an additional fee, this Authority did not invite payment of any additional fee.
3. ☐ As only some of the required additional search fees were timely paid by the applicant, this international search report covers only those claims for which fees were paid, specifically claims Nos.:
4. ☐ No required additional search fees were timely paid by the applicant. Consequently, this international search report is restricted to the invention first mentioned in the claims; it is covered by claims Nos.:

Remark on Protest

☐
☐

- The additional search fees were accompanied by the applicant's protest.
No protest accompanied the payment of additional search fees.

INTERNATIONAL SEARCH REPORT

International application No.

PCT/US03/24209

A. CLASSIFICATION OF SUBJECT MATTER

IPC(7) : A61K 39/395; C07K 16/46, 16/30, 16/12, 5/06
US CL : 424/131.1, 155.1, 178.1; 530/388.8, 391.1, 329, 330, 387.2, 388.4

According to International Patent Classification (IPC) or to both national classification and IPC

B. FIELDS SEARCHED

Minimum documentation searched (classification system followed by classification symbols)
U.S. : 424/131.1, 155.1, 178.1; 530/388.8, 391.1, 329, 330, 387.2, 388.4

Documentation searched other than minimum documentation to the extent that such documents are included in the fields searched

Electronic data base consulted during the international search (name of data base and, where practicable, search terms used)
WEST, STN

C. DOCUMENTS CONSIDERED TO BE RELEVANT

Category *	Citation of document, with indication, where appropriate, of the relevant passages	Relevant to claim No.
X	TOKI et al. Cures and Regressions of Established Tumor Xenographs with Monoclonal Antibody. 223rd ACS National Meeting, Orlando, FL April 7-11, 2002, see Abstract	1-92
Y	US 2001/0018422 A1 (RITTER et al) 30 August 2001 (30.08.2001), see Example 1.	36-42
Y	US 6,239,104 B1 (PETTIT et al) 29 May 2001 (29.05.2001), see Example 7.	36-42
Y	US 6,342,221 B1 (THORPE et al) 29 January 2002 (29.01.2002), see Example X.	

☐ Further documents are listed in the continuation of Box C.

☐ See patent family annex.

* Special categories of cited documents:

- "A" document defining the general state of the art which is not considered to be of particular relevance
- "E" earlier application or patent published on or after the international filing date
- "L" document which may throw doubts on priority claim(s) or which is cited to establish the publication date of another citation or other special reason (as specified)
- "O" document referring to an oral disclosure, use, exhibition or other means
- "P" document published prior to the international filing date but later than the priority date claimed

- "T" later document published after the international filing date or priority date and not in conflict with the application but cited to understand the principle or theory underlying the invention
- "X" document of particular relevance; the claimed invention cannot be considered novel or cannot be considered to involve an inventive step when the document is taken alone
- "Y" document of particular relevance; the claimed invention cannot be considered to involve an inventive step when the document is combined with one or more other such documents, such combination being obvious to a person skilled in the art
- "&" document member of the same patent family

Date of the actual completion of the international search

08 January 2004 (08.01.2004)

Date of mailing of the international search report

16 APR 2004

Name and mailing address of the ISA/US

Mail Stop PCT, Attn: ISA/US
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Facsimile No. (703)305-3230

Authorized officer

Edward C Ward *E. C. Ward for*
Telephone No. (703) 308-0196

BOX II. OBSERVATIONS WHERE UNITY OF INVENTION IS LACKING

Group 1 Claims 1 to 31, 55 to 77 and 78 to 86, Drug-antibody conjugates and method of treating cancer

Group 2, Claims 32 to 54, 87 to 92 dolstatin intermediates

Group 3 Claims 72 and 75, method of treating autoimmune diseases

Group 4, Claims 73 and 76, method of treating infections Group 1 and group 2 are distinct because the products and intermediates are biologically, and chemically distinct, and

have no special feature in common. The intermediates may be used to treat cancer, as disclosed by the beginning paragraphs of the application. Groups 3 and 4 are distinct from Group 1, as different antibodies are required to treat cancers, infections, and autoimmune diseases. Even though the antibodies may be recombinant, the antibodies only recognize specific protein antigens on the surface of the cells to which they are targeted.

1604 C 210

UNITED STATES RECEIVING OFFICE (RO/US) FEE CODING AND RECORDING SHEET

☐ ADD'L SHEETS

IDENTIFICATION OF THE INTERNATIONAL APPLICATION

INTERNATIONAL APPLICATION NUMBER

INTERNATIONAL FILING DATE

PCT/US03/24209

31 July 2003

APPLICANT (Name)

Adriano M. Antler

PAYMENTS

REFUNDS

Payment on Filing			Deposit Account	Deposit Account	To Deposit Account	To Deposit Account
			DA 161150			
Deposit Account			DATE:	DATE:	DATE:	DATE:
			31 March 04			
<input type="checkbox"/> CASH/CHECK			<input type="checkbox"/> CASH/CHECK	<input type="checkbox"/> CASH/CHECK	<input type="checkbox"/> BY CHECK	<input type="checkbox"/> BY CHECK
150			1604 810.00			
151						
153						
800						
801						
802						
892						
Total Paid:			Total Paid:	Total Paid:	Total Refunded:	Total Refunded:
			810.00			
States Included for 892:			892:	892:		
States Included for 893:			893:	893:		

Date Mailed:

RO/US Authorization

RO/US Authorization

RO/US Authorization

RO/US Authorization

RO/US Authorization

CHAPTER I
PCT TELEPHONE MEMORANDUM
FOR
LACK OF UNITY OF INVENTION



PCT No.: PCT/US03/24209

Examiner: Edward C Ward

Attorney spoken to: Adriane Antler

Date of call: 31 March 2004

- ☒ Amount of payment approved: \$810.00
- ☒ Deposit account number to be charged: DA 161150
- ☒ Attorney elected to pay for ALL additional inventions
- ☐ Attorney elected to pay only for the additional inventions covered by
 - ☐ Group(s):
 - encompassing --
 - ☐ Claim(s):
- ☐ Attorney elected NOT to pay for any additional inventions, therefore, only the first claimed invention (Group I) covered by Claim(s) _____ has been searched.
- ☒ Attorney was orally advised that there is no right to protest for any group not paid for.
- ☒ Attorney was orally advised that any protest must be filed no later than 15 days from the mailing of the Search Report (PCT/ISA/210).

Time Limit For Filing A Protest

Applicant is hereby given 15 days from the mailing date of this Search Report in which to file a protest of the holding of lack of unity of invention. In accordance with PCT Rule 40.2, applicant may protest the holding of lack of unity only with respect to the group(s) paid for.

Detailed Reasons For Holding Lack of Unity of Invention:

Please See Continuation Sheet

Note: A copy of this form must be attached to the Search Report.

**ATTACHMENT TO CHAPTER I PCT TELEPHONE MEMORANDUM
FOR
LACK OF UNITY OF INVENTION**

Continuation of Detailed Reasons For Holding Lack of Unity of Invention:

Group 1 Claims 1 to 31, 55 to 77 and 78 to 86, Drug-antibody conjugates and method of treating cancer

Group 2, Claims 32 to 54, 87 to 92 dolstatin intermediates

Group 3 Claims 72 and 75, method of treating autoimmune diseases

Group 4, Claims 73 and 76, method of treating infections

Group 1 and group 2 are distinct because the products and intermediates are biologically, and chemically distinct, and have no special feature in common. The intermediates may be used to treat cancer, as disclosed by the beginning paragraphs of the application. Groups 3 and 4 are distinct from Group 1, as different antibodies are required to treat cancers, infections, and autoimmune diseases. Even though the antibodies may be recombinant, the antibodies only recognize specific protein antigens on the surface of the cells to which they are targeted.

Note: A copy of this form must be attached to the Search Report.

NOTES TO FORM PCT/ISA/220 (continued)

The letter must indicate the differences between the claims as filed and the claims as amended. It must, in particular, indicate, in connection with each claim appearing in the international application (it being understood that identical indications concerning several claims may be grouped), whether

- (i) the claim is unchanged;
- (ii) the claim is cancelled;
- (iii) the claim is new;
- (iv) the claim replaces one or more claims as filed;
- (v) the claim is the result of the division of a claim as filed.

The following examples illustrate the manner in which amendments must be explained in the accompanying letter:

1. [Where originally there were 48 claims and after amendment of some claims there are 51]:
"Claims 1 to 29, 31, 32, 34, 35, 37 to 48 replaced by amended claims bearing the same numbers; claims 30, 33 and 36 unchanged; new claims 49 to 51 added."
2. [Where originally there were 15 claims and after amendment of all claims there are 11]:
"Claims 1 to 15 replaced by amended claims 1 to 11."
3. [Where originally there were 14 claims and the amendments consist in cancelling some claims and in adding new claims]:
"Claims 1 to 6 and 14 unchanged; claims 7 to 13 cancelled; new claims 15, 16 and 17 added." or
"Claims 7 to 13 cancelled; new claims 15, 16 and 17 added; all other claims unchanged."
4. [Where various kinds of amendments are made]:
"Claims 1-10 unchanged; claims 11 to 13, 18 and 19 cancelled; claims 14, 15 and 16 replaced by amended claim 14; claim 17 subdivided into amended claims 15, 16 and 17; new claims 20 and 21 added."

"Statement under Article 19(1)" (Rule 46.4)

The amendments may be accompanied by a statement explaining the amendments and indicating any impact that such amendments might have on the description and the drawings (which cannot be amended under Article 19(1)).

The statement will be published with the international application and the amended claims.

It must be in the language in which the international application is to be published.

It must be brief, not exceeding 500 words if in English or if translated into English.

It should not be confused with and does not replace the letter indicating the differences between the claims as filed and as amended. It must be filed on a separate sheet and must be identified as such by a heading, preferably by using the words "Statement under Article 19(1)."

It may not contain any disparaging comments on the international search report or the relevance of citations contained in that report. Reference to citations, relevant to a given claim, contained in the international search report may be made only in connection with an amendment of that claim.

Consequence if a demand for international preliminary examination has already been filed

If, at the time of filing any amendments and any accompanying statement, under Article 19, a demand for international preliminary examination has already been submitted, the applicant must preferably, at the time of filing the amendments (and any statement) with the International Bureau, also file with the International Preliminary Examining Authority a copy of such amendments (and of any statement) and, where required, a translation of such amendments for the procedure before that Authority (see Rules 55.3(a) and 62.2, first sentence). For further information, see the Notes to the demand form (PCT/IPEA/401).

Consequence with regard to translation of the international application for entry into the national phase

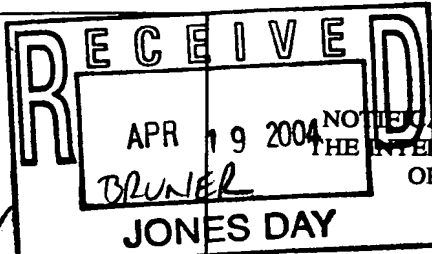
The applicant's attention is drawn to the fact that, upon entry into the national phase, a translation of the claims as amended under Article 19 may have to be furnished to the designated/elected Offices, instead of, or in addition to, the translation of the claims as filed.

For further details on the requirements of each designated/elected Office, see the *PCT Applicant's Guide*, Volume II.

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To:
ADRIANE M. ANTLER
PENNIE & EDMONDS LLP
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036



PCT

NOTIFICATION OF TRANSMITTAL OF
THE INTERNATIONAL SEARCH REPORT
OR THE DECLARATION

(PCT Rule 44.1)

*Amend Prior to Pub-
5/16/04*

CL USIDS Refs 7/16/04

Date of Mailing
(day/month/year)

Applicant's or agent's file reference
9632-093-228

FOR FURTHER ACTION See paragraphs 1 and 4 below

International application No.
PCT/US03/24209

International filing date
(day/month/year)

31 July 2003 (31.07.2003)

Applicant
SEATTLE GENETICS, INC.

1. ☒ The applicant is hereby notified that the international search report has been established and is transmitted herewith.

Filing of amendments and statement under Article 19:

The applicant is entitled, if he so wishes, to amend the claims of the international application (see Rule 46):

When? The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

Where? Directly to the International Bureau of WIPO, 34, chemin des Colombettes
1211 Geneva 20, Switzerland, Facsimile No.: (41-22) 740.14.35

For more detailed instructions, see the notes on the accompanying sheet.

2. ☐ The applicant is hereby notified that no international search report will be established and that the declaration under Article 17(2)(a) to that effect is transmitted herewith.

3. ☐ With regard to the protest against payment of (an) additional fee(s) under Rule 40.2, the applicant is notified that:

☐ the protest together with the decision thereon has been transmitted to the International Bureau together with the applicant's request to forward the texts of both the protest and the decision thereon to the designated Offices.

☐ no decision has been made yet on the protest; the applicant will be notified as soon as a decision is made.

4. Reminders

Shortly after 18 months from the priority date, the international application will be published by the International Bureau. If the applicant wishes to avoid or postpone publication, a notice of withdrawal of the international application, or of the priority claim, must reach the International Bureau as provided in Rules 90 bis.1 and 90 bis.3, respectively, before the completion of the technical preparations for international publication.

Within 19 months from the priority date, but only in respect of some designated Offices, a demand for international preliminary examination must be filed if the applicant wishes to postpone the entry into the national phase until 30 months from the priority date (in some Offices even later); otherwise the applicant must, within 20 months from the priority date, perform the prescribed acts for entry into the national phase before those designated Offices.

In respect of other designated Offices, the time limit of 30 months (or later) will apply even if no demand is filed within 19 months.

See the Annex to Form PCT/IB/301 and, for details about the applicable time limits, Office by Office, see the *PCT Applicant's Guide*, Volume II, National Chapters and the WIPO Internet site.

Name and mailing address of the ISA/US
Mail Stop PCT, Attn: ISA/US
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450
Facsimile No. (703) 305-3230

Authorized officer

Edward C Ward

Telephone No. (703) 308-0196

E. C. Ward for

PATENT COOPERATION TREATY

From the INTERNATIONAL SEARCHING AUTHORITY

To:
ADRIANE M. ANTLER
PENNIE & EDMONDS LLP
1155 AVENUE OF THE AMERICAS
NEW YORK, NY 10036

PCT

NOTIFICATION OF TRANSMITTAL OF THE INTERNATIONAL SEARCH REPORT OR THE DECLARATION

(PCT Rule 44.1)

Applicant's or agent's file reference 9632-093-228	Date of Mailing (day/month/year) 16 APR 2004
International application No. PCT/US03/24209	International filing date (day/month/year) 31 July 2003 (31.07.2003)
Applicant SEATTLE GENETICS, INC.	

1. ☒ The applicant is hereby notified that the international search report has been established and is transmitted herewith.

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When? The time limit for filing such amendments is normally two months from the date of transmittal of the international search report.

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Name and mailing address of the ISA/US Mail Stop PCT, Attn: ISA/US Commissioner for Patents P.O. Box 1450 Alexandria, Virginia 22313-1450 Facsimile No. (703)305-3230	Authorized officer Edward C Ward <i>E. C. Ward</i> Telephone No. (703) 308-0196
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